IRAQ GOVERNANCE STRENGTHENING PROJECT（TAQADUM）

Annual Monitoring and Evaluation Report

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Acronyms

Acronym	Definition
ADS	Automatic Directive System
ARDP	Accelerated Reconstruction Development Project
C1	Component 1: Institutional Strengthening
C2	Component 2: Executive Oversight
CBO	Capacity Building Office
CC	Cross-Cutting
CAO	Contract and Agreement Officer
COMSEC	Council of Minister Secretariat
CSD	Citizen Service Desk
COP	Chief of Party
COR	Chamber of Representatives
COTR	Cognizant Officer Technical Representative
CSI	Citizen Satisfaction Index
CSO	Civil Society Organization
CSS	Citizen Satisfaction Survey
DAC	District Advisory Council
DCOP	Deputy Chief of Party
DQA	Data Quality Assessment
ESD	Essential Service Delivery
ESDO	Essential Service Delivery Oversight
F-HH	Female-Headed Housewife
FO	Field Office
FY	Fiscal Year
GO	Governor's Office
GOI	Government of Iraq
GSP	Governance Strengthening Project
GUC	Grant Under Contract
IDP	Internally Displaced Person
IR	Intermediate Result
LOE	Level of Effort
LOP	Life of Project
M&E	Monitoring & Evaluation
MOF	Ministry of Finance
MOP	Ministry of Planning
MOPA	Ministry of Provincial Affairs
NACs	Neighborhood Advisory Councils
NDP	National Development Plan
NGO	Non-Governmental Organization
OSTP	Organizational Self-assessment and Transformation Program
PC	Provincial Council
PCI	Provincial Capability Index
PCM	Project Cycle Management
PDP	Provincial Development Plan
PDS	Provincial Development Strategy

PIRS	Performance Indicator Reference Sheet
PMP	Performance Monitoring Plan
PMU	Project Management Unit
PPL	Priority Project List
USAID	United States Agency for International Development
USG	United States Government

EXECUTIVE SUMMARY

As per Section F.7.B.(6), Chemonics provides its Annual Monitoring and Evaluation Report for the Iraq Governance Strengthening Project (Taqadum) under Contract No. AID-267-C-11-00006. This report provides an analysis of progress against performance indicator targets, project highlights, an evaluation of major program areas and cost effectiveness, and lessons learned. Readers of this plan should be familiar with the USAID Contract No. AID-267-C-11-00006, Contract Modification 2, and the Year 1 GSP Annual Workplan, Performance Management Plan, Monitoring and Evaluation Plan, and Quarterly Performance Reports.

ANALYSIS OF INDICATORS

Indicator 1: Annual Change in the Citizen Satisfaction Index Value

One of two overarching indicators of GSP performance is the Citizen Satisfaction [with government services] Index. The citizen satisfaction index describes citizen perception of government service trends (are services better this year than last?), citizen confidence in future services (will services be better next year than this year?), citizen perception of awareness of services, perception of equality of service distribution, and perception of fairness of government business practices. The overall scores are measured against baseline data to determine overall effectiveness of GSP support in enabling transparent local government service delivery. It should be noted that GSP management is aware that the Citizen Satisfaction Survey results are not tied solely to GSP impact. A variety of factors including political stability, political party affiliation, economic growth, and security may significantly affect the perceptions of respondents. GSP is unable to determine the effect of these factors or to make statistical adjustments to the data.

Responses were assigned numeric scores as follows:

Strongly Disagree	Disagree	Neutral	Agree	Strongly Agree	No Response / Not Applicable
-2	-1	0	1	2	No Score

Scores are calculated by averaging numeric values of the responses within a province and by each survey question. Scores range from -2 to 2 and are useful when examining individual provinces as they provide insight into the average citizen response to each question, within each province.

Index values are useful in comparing responses across provinces while the average score provides insight into the perception of citizens on a specific issue. Scores for subsequent years will be

calculated against the baseline average, and the difference between the new provincial index value and the old provincial index value will be reported. The Citizen Satisfaction Survey was conducted in the 15 provinces in which GSP is currently active.

In overall scores, the provinces are split evenly between agreeing or disagreeing that services have improved and will improve. The average score for all provinces was positive at 0.02, on a scale of 2.0 to -2.0. Seven provinces scored positively, seven negatively, and one province scored a zero. A low score standard deviation of 0.31 adds confidence to the conclusion that citizens are largely unified by their opinion that service improvements have been meager, though there was wider distribution of negative responses (Disagree or Strongly Disagree), with relatively few responses of (Strongly Agree).

Diwaniyah, Kirkuk, and Basrah scored the highest among the provinces, mostly due to high service and service-awareness scores. Ninawa, Dhi Qar, and Salahaddin scored the lowest, in part because of low scores on perception of fairness of government practices and equity of service delivery, but also because of poor service scores.

Responses indicated that most citizens are cautiously optimistic about service improvements. Nearly all provinces scored higher on questions about future service delivery than about past service trends, and, in all provinces except Ninawa, average responses agreed that all services except electricity will improve in the coming year.

Province	Services	Awareness Scores	Fairness & Equity	Province Total Score[1]
Diwaniyah	0.358	0.43	(0.89)	0.29
Kirkuk	0.205	1.14	(1.01)	0.29
Basrah	0.243	0.53	(0.80)	0.21
Wasit	0.114	0.24	(0.44)	0.12
Najaf	0.090	0.61	(0.46)	0.11
Anbar	0.317	0.11	(1.40)	0.08
Maysan	0.221	0.15	(0.76)	0.05
Muthanna	0.150	(0.06)	(1.21)	0.00
Babil	(0.017)	0.63	(0.86)	(0.01)
Karbala	(0.196)	(0.01)	(0.53)	(0.07)
Baghdad	(0.027)	(0.40)	(0.91)	(0.10)
Diyala	(0.047)	0.00	(0.76)	(0.10)
Salahaddin	(0.065)	0.30	(1.31)	(0.14)
Dhi Qar	(0.257)	(0.14)	(1.05)	(0.24)

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[1] The province total score is the average of all response scores within each province.

Ninawa	(0.293)	0.15	(0.92)	(0.28)
Average	0.053	0.25	(0.89)	0.02
Sdev	0.339	0.38	0.29	0.31

Average scores for individual service areas revealed citizens perceive improvements and expect improvements in security more than in any other surveyed service sector. Education, health, and water followed. Only responses for electricity were negative where respondents indicated that service had not improved and that services would not improve in the coming year.

When questioned about awareness of government services, the average score across all provinces was 0.25, a scarcely positive response. More interestingly is that 46% of respondents agreed or strongly agreed with survey question V11, *I am aware of the government services that are available to me*. The strongest scores came from Kirkuk, Babil, Najaf and Basrah. The lowest score came from Baghdad where 24% strongly disagreed.

Though citizens reported being aware of the services offered, respondents did not feel that government services were distributed equally nor did they feel that business practices within the government were fair. The average score for perception of equality of service distribution was –0.84 with Anbar, Salahaddin, Muthanna scoring the lowest (less than –1.0), and Wasit, Najaf, and Karbala scoring the highest (roughly –0.45). Perception of fairness of government practices was also poor with an average score of ‾0.93. Again, Anbar, Salahaddin, Muthanna scored the lowest (–1.32 to –1.36), and Wasit, Najaf, and Karbala scoring the highest (roughly –0.46 to –0.61)

The overall scores will be used as a baseline for measuring overall effectiveness of GSP support in enabling transparent local government service delivery. The survey instrument will be revised to emphasize current satisfaction with government services and to protect the anonymity of respondents.

Additional analysis is available in the *GSP Citizen Satisfaction Survey Final Report*.

Statistic Highlights

Across all provinces, average service related scores were positive for all sectors but electricity. People agreed that services had and would continue to improve. Scores for expectations for future services

Average Scores Per Service Sector Disaggregated by Perception of Past Trends and Expectations for Future Trends

were higher than scores for past-year services except for electricity.

Future Services   Past Services

Score Percentiles Disaggregated by Response and Age Group
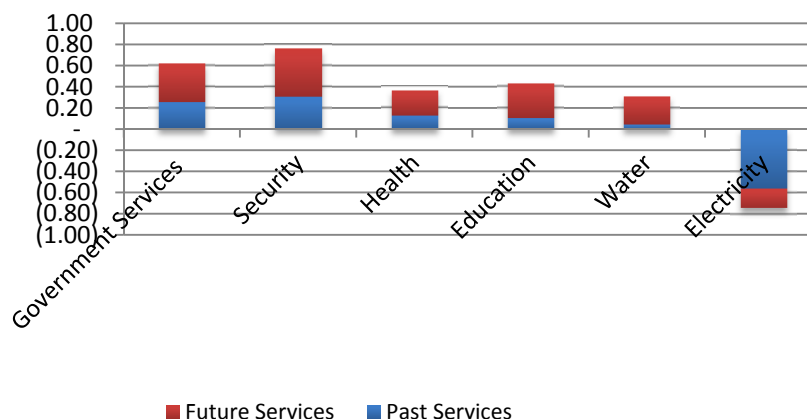
The average provincial score for all provinces was a 0.02, but a strong level of positive agreement (39%) was offset by those who strongly disagreed or disagreed with positive statements about local government performance.

Age Group	Strongly Disagree	Disagree	Neutral	Agree	StStrAgree	/ No Answer
18-30	15%	18%	24%	30%	8%	5%
31-50	13%	19%	24%	31%	7%	5%
51-70	12%	18%	25%	30%	8%	7%
70+	15%	21%	25%	30%	7%	1%
TOTAL	14%	19%	24%	31%	8%	5%

Service Perception Trends by Province and Past / Future Trend Perception / Expectation

Across all services, nearly every province predicted improved services next year. Only three provinces reported that services had not improved last year.

Past   Future
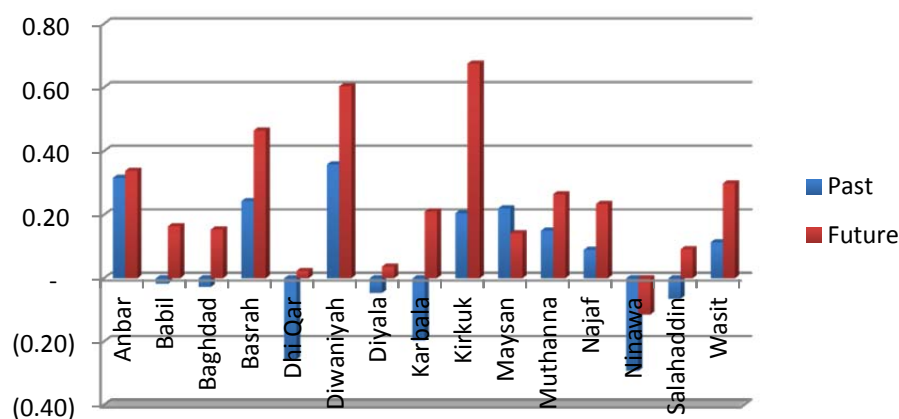
Perception of service improvements and expectations for future improvements were

Service Perceptions and Expectations by Sector

highly correlated with Security, Education, and Health leading. Electricity was sharply lower with the vast majority not perceiving or predicting service improvements.

■ Future Services   ■ Past Services

Service Distribution, Fairness, and Awareness by Province

Provinces disagreed that services are equally distributed, and strongly disagreed that local government business practices are fair. Most provinces reported being aware of the services that are offered.

V19 Fair
V18 Equal
V11 Aware
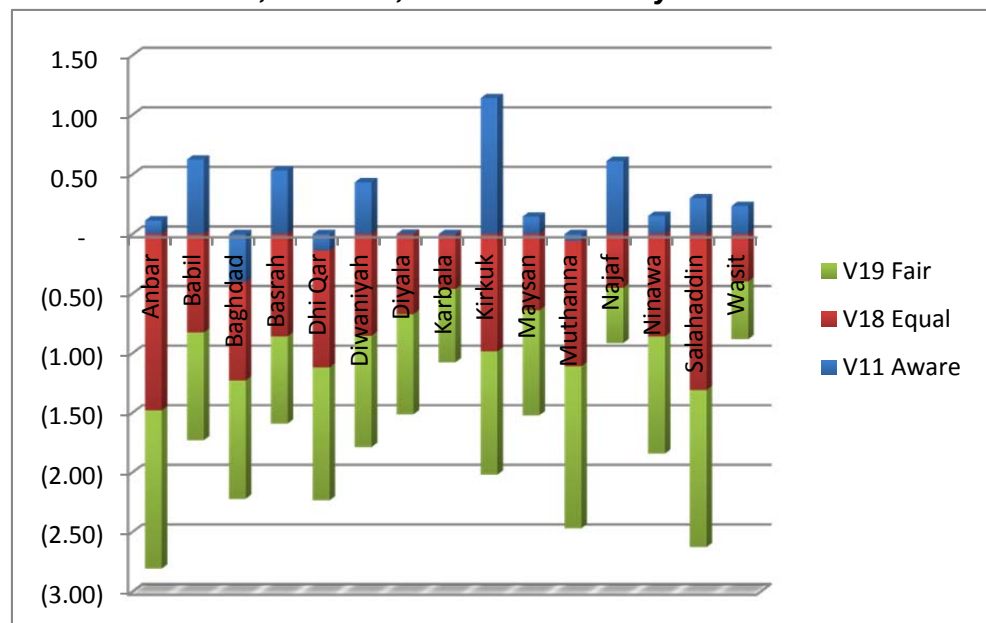
Indicator 2: Annual Change in the GSP Effectiveness Index Value

The GSP Effectiveness Index (GSPEI) provides a measure of the change in provincial capacity and performance as a result of Taqadum interventions. Each province will be scored on specific benchmarks in 13 functional areas, each closely tied to GSP Taqadum activities and to both changes in local government capacity and performance. Index values are calculated by setting the average score for all provinces to a value of 100, and then calculating the equivalent index value for individual provinces. Scores are based on a scale comprising of values that range from 0 to 5 that are pre-defined and linked to capacity and performance improvements. Baseline GSPEI scores will likely be low, as this is the starting point for the provinces. Low scores do not indicate poor provincial governance. Rather, they reflect that the province has not yet adopted the

lessons and practices that Taqadum advocates. Scores for subsequent years will be calculated against the baseline average. The GSPEI tool is included with this report as Appendix 1.

Note that the baseline for September of 2011 and current data is being gathered by field staff during February and March of 2013. Baseline data may be easily and accurately reconstructed by the field given the nature of the scoring benchmarks, e.g. the existence of Essential Service Delivery Oversight (ESDO) units, Provincial Planning and Development Councils (PPDC), Organizational Self-Assessment and Transformational Program (OSTP) units, etc.

Indicator 3: Number of Units Implementing Newly Devolved Functions and Authorities

This indicator measures any unit, described here as any section, division, or department of the provincial or local government implementing any functions or authorities delegated or devolved to it from the central government during a program year. Taqadum engagement occurs as these units are devolved.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Variance Analysis: Not applicable since there were no units of the central government whose functions or authorities were delegated or devolved to sub-national government. In Year 2, Provincial Planning and Development Councils (PPDC) qualifies to be counted under the definition of this indicator and Taqadum projects 10 provinces will establish PPDCs with Taqadum support.

Indicator 4: Number of Women Who Report Increased Self Efficacy at the Conclusion of a Training Supported By GSP (Taqadum)

This indicator is used to describe the degree that female Provincial Council members feel better able to perform their jobs as a result of Taqadum training and/or other Taqadum interventions. Data was gathered through post-activity surveys.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	60	4	4	8	4	3	3	4	4	7	3	2	3	5	2	4
Actual (2012)	68	0	8	7	5	3	3	8	1	2	3	4	2	11	2	9
Variance	8	(4)	4	(1)	1	0	0	4	(3)	(5)	0	2	(1)	6	0	5

<u>Variance Analysis:</u> The positive variance was achieved because in Babil, Basra, Diyala, Muthana, Ninawa, and Salah ad-Din, the majority of women provincial council members participated in Taqadum interventions. Except for Anbar, all other provinces experienced some participation by women council members in Taqadum activities. Of the 120 female provincial council members on record in the 15 provinces, 57% (or 68 persons) participated in Taqadum program activities. Taqadum is actively seeking to increase women's participation beyond original targets going forward.

Indicator 5: Number of Provincial Capital Investment and Operating Budgets Submitted to MoP on Schedule

Provincial capital investment budget refers to the two sections of the annual provincial budget regulated by the Iraqi annual federal budget law and by the Ministry of Finance and Ministry of Planning submission process, directives, and deadlines. The provincial operational and capital investment budget contains annual budget forecasts necessary for the rehabilitation or construction of public infrastructure, including forecasted operations and maintenance costs. Currently, few provinces are able to complete the budgeting process on time, and Taqadum is providing targeted capacity building to assist in this area. This indicator provides a measurement of the effectiveness of Taqadum efforts in this area as well as highlighting the overall efficiency of the budgeting and reporting processes.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	7	0	1	1	1	0	1	0	1	0	0	0	1	0	0	1
Actual (2012)	2	0	0	0	0	1	0	0	0	0	0	1	0	0	0	0
Variance	(5)	0	(1)	(1)	(1)	1	(1)	0	(1)	0	0	1	(1)	0	0	(1)

Variance Analysis: Taqadum fell short of the target number of provinces in part because provincial government counterparts were distracted by new and accelerated requirements for submitting the Provincial Development Strategies. Taqadum supported that effort and was forced to delay some activities intended to address budgeting capacity constraints. Additionally, recruiting challenges in Anbar, Salah Ad-Din, Kirkuk and Dhi Qar slowed project progress. It is likely that Baghdad and Babil met the indicator standard, but Taqadum was unable to documents this. The Taqadum M&E staff is working with counterparts to ensure improved access to documentation in future quarters. In Year 2, GSP intends that nine provinces will satisfy the requirements for this indicator. This increase is consistent with enhanced resources in the provinces, improved focus on budgeting and financial management activities, and the maturation of relationships with the counterparts.

Indicator 6: Number of Standard Operating Procedures (SOP) Drafted and/or Revised with GSP (Taqadum) Assistance

This indicator relates to the number of provincial planning, legislative, budgeting, institutional development, and fiscal standard operating procedures, drafted or revised with Taqadum assistance. A Standard Operating Procedure includes documented guidance, instructions, and process maps.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	3	0	1	1	0	0	0	0	0	0	0	0	0	0	0	1
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	(3)	0	(1)	(1)	0	0	0	0	0	0	0	0	0	0	0	(1)

Variance Analysis: Negative variance is due to the long development cycle time required to complete a Standard Operating Procedure. Moving forward, Taqadum assistance that began in the first year of the program will yield positive results; consequently, the target for Year 2 is the completion of 15 standard operating procedures.

Indicator 7: Percentage of Women, Youth, and Minority Groups Participating in the Provincial Planning Process

Planning activities at the provincial level that includes the participation of women, youth, and minority groups mainly comprise development of the Priority Project List（PPL）. The PPL is a participative process involving relevant public and private sector stakeholders as well as citizens

through organized public forums. The indicator measures the extent of participation of women, youth, and minority groups in such forums as a percentage of total participants.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%	10%
Actual (2012)	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Variance	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%	– 10%

<u>Variance Analysis:</u> This is an annually reported indicator and the negative variance is due to the fact that the PPL development cycle in 2012 began earlier than the ramp-up of Taqadum activities in the planning process. Progress against indicator targets will be apparent in the next reporting cycle.

Indicator 8: Number of Provinces that Meet the MoP/MoF Reporting Requirements and Deadlines

A key element of effective planning and budgeting at the provincial level is compliance with Ministry of Planning (MoP) and Ministry of Finance (MoF) reporting requirements and deadlines by provincial planning authorities. The indicator measures conformance to MoP/ MoF reporting requirements and deadlines by provinces in relation to fiscal and budgeting areas.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

<u>Variance Analysis:</u> Not applicable in Year 1 due to the planning and budgeting cycle and the Taqadum start-up schedule. Target was set at zero. In Year 2, Taqadum anticipates that all

provinces will meet this indicator threshold by the end of the program year; accordingly, the target for Year 2 has been set at 15 provinces.

Indicator 9: Number of Government Officials Receiving GSP (Taqadum) Training in Conducting Community Outreach and Citizen Participation Process

This indicator counts the number of government officials receiving Taqadum trainings on community outreach and citizen participation. The same person receiving multiple trainings over the duration of a program year counts as one participant. Taqadum capacity-building training refers to formal training that includes a training plan with stated learning objectives and training materials. Government officials are defined as individual delegates nominated by provincial or local governments.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (Male)	60	4	4	6	4	4	4	4	4	3	4	4	4	3	4	4
Actual (Male)	57	4	2	3	4	4	4	10	3	2	4	2	4	4	3	4
Variance (Male)	(3)	0	(2)	(3)	0	0	0	6	(1)	(1)	0	(2)	0	1	(1)	0
Target (Female)	20	1	1	4	1	1	1	1	1	2	1	1	1	2	1	1
Actual (Female)	10	0	2	1	0	0	1	2	2	0	0	0	0	0	2	0
Variance (Female)	(10)	(1)	1	(3)	(1)	(1)	0	1	1	(2)	(1)	(1)	(1)	(2)	1	(1)
Total Target	80	5	5	10	5	5	5	5	5	5	5	5	5	5	5	5
Total Actual	67	4	4	4	4	4	5	12	5	2	4	2	4	4	5	4
Total Variance	(13)	(1)	(1)	(6)	(1)	(1)	0	7	0	(3)	(1)	(3)	(1)	(1)	0	(1)

Variance Analysis: The shortfall in the overall indicator mostly stems from Baghdad where only four of the projected six government officials received Taqadum community outreach training. This was due to competing priorities for government officials at the time of training. The remainder of the shortfall was caused by the relative dearth of female Provincial Council members that were available for the trainings, and a late start to trainings in Kirkuk and Muthana. Project management has scheduled additional trainings and focused additional effort to encourage female participation in these trainings going forward.

Indicator 10: Number of Training Hours Provided to Government Officials by GSP (Taqadum) in Conducting Community Outreach and Citizen Participation Process

This indicator is linked to *Indicator #9: Number of Government Officials Receiving GSP Trainings in Conducting Community Outreach and Citizen Participation Process*. Here the count is the number of hours of training received by government officials in conducting community outreach and citizen participation.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target （2012）	160	10	10	15	10	10	10	10	10	10	10	10	15	10	10	10
Actual （2012）	270	18	18	18	18	18	18	18	18	18	18	18	18	18	18	18
Variance	110	8	8	3	8	8	8	8	8	8	8	8	3	8	8	8

<u>Variance Analysis</u>: The positive variance is due to an extended training program and requested follow-on training delivered through regional hubs.

Indicator 11: Number of Consensus Building Forums (Multi-party, Civil/Security, and/or Civil/Political) Held with GSP (Taqadum) Assistance

This is an F indicator and refers to multi-party, civil/military, civil/political forums or events, seminars, meetings, and conferences that bring together groups in tension or conflict in an effort to generate greater understanding and consensus. Civil means *public* and indicates a meeting, town hall, forum, etc. in which the public can communicate directly with representatives of parties （or government） or the security sector （military, police）. Increased communication between groups enhances understanding and increases the possibility that consensus- building processes will result in an agreement, contributes to peaceful agreement on democratic reform, rules, and frameworks; and supports anti-corruption objectives by enhancing transparency.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target （2012）	3	0	1	1	1	0	0	0	0	0	0	0	0	0	0	0
Actual （2012）	34	3	3	3	1	1	2	0	3	2	3	1	3	3	3	3
Variance	31	3	2	2	0	1	2	0	3	2	3	1	3	3	3	3

<u>Variance Analysis:</u> The positive variance is due to the high number of regional and national based workshops and conferences that brought together diverse groups of participants. This included Taqadum's efforts to support new MOP requirements for Provincial Development Strategies. Taqadum brought together a wide range of traditionally at-odds stakeholders to develop unified strategies that, in part, addressed sources of conflict.

Indicator 12: Number of Government Officials Trained by Iraqi Institutions with GSP (Taqadum) Support

This indicator measures the sustainability of Taqadum capacity-building efforts through CSOs, universities, and associations. Government officials are defined as individual delegates nominated by provincial or local governments and training refers to knowledge or skills building that follow a training plan with stated learning objectives offered by Iraqi institutions or Local Governance Associations (LGAs) registered under Iraqi law.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

<u>Variance Analysis:</u> No variance. In Year 1, Taqadum has begun providing training to institutions that may in turn provide training to government officials in Year 2. Taqadum is targeting 90 local government officials to be trained by Iraqi institutions in Year 2.

Indicator 13: Number of Training Hours for Government Officials Provided by Iraqi Institutions with GSP (Taqadum) Support

This indicator is linked to *Indicator #12: Number of Government Officials Trained by Iraqi Institutions with GSP Support.* Here the count is the number of hours of training provided to government officials, defined as individual delegates nominated by provincial or local governments, and training refers to knowledge or skills building that follow a training plan with stated learning objectives offered by Iraqi institutions or Local Governance Associations (LGAs) registered under Iraqi law. This indicator measures the sustainability of Taqadum knowledge, moving forward.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

<u>Variance Analysis:</u> Not applicable. In Year 2, Taqadum is targeting 450 hours of training for local government officials by Iraqi institutions.

Indicator 14: Number of Provinces Implementing a Systemized Process for Monitoring Service Delivery

Objective service delivery assessments require reliable and sustainable systems deploying systemized processes or mechanisms for monitoring and reporting of service delivery issues. Introduction of a new process or mechanism, or a measurable improvement in the existing processes or mechanisms for monitoring and reporting of service delivery issues due to Taqadum support would make the province eligible to be counted.

This is a top-level or roll-up indicator for *Indicator #16: Number of Essential Service Delivery Oversight Entities Established or Expanded Through GSP Assistance*; *Indicator #17: Number of Citizen Service Desks Established or Improved Through GSP Assistance*, and *Indicator #20: Number of Provincial Performance Standards Developed in Coordination with Line Ministries to Address Service Delivery Issues Through GSP Assistance.* A province is counted here if it meets the threshold requirements of any one of these 3 indicators.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	4	0	1	1	0	0	0	0	0	0	0	0	1	0	0	1
Actual (2012)	2	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1
Variance	(2)	0	0	(1)	0	0	0	0	0	0	0	0	(1)	0	0	0

Variance Analysis: The negative variance is due to the long development cycle time to meet the requirements of this indicator. Taqadum efforts that began in Year 1 are projected to yield positive results in Year 2. Taqadum has set Year 2 targets for this indicator at 11 provinces.

Indicator 15: Number of Service Delivery Issues Reported to Line Services Ministries as a Result of GSP (Taqadum) Assistance

This indicator tracks the number of service delivery issues (i.e., water, sewer, trash pick-up, road pavements, health, and education) reported to the line ministries by provincial government after receiving complaints through citizen service desks and other means. Complaints are transmitted to the line ministry directorates in the province through official letters.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Variance Analysis: Not applicable since the target was set to zero. In Year 2, Taqadum projects a target of 520 issues to be transmitted to line ministries from provincial government.

Indicator 16: Number of Essential Service Delivery Oversight Entities Established or Expanded Through GSP (Taqadum) Assistance

An Essential Services Delivery Oversight (ESDO) entity is a formally created and recognized body of the GO and/or Provincial Council and is charged with jointly managing the oversight of executive services. For an ESDO to be counted, it must have a formal charter and at least one report describing actions taken to jointly monitor and oversee executive services.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	4	0	1	1	0	0	0	0	0	0	0	0	1	0	0	1
Actual (2012)	2	0	1	0	0	0	0	0	0	0	0	0	0	0	0	1

| Variance | (2) | 0 | 0 | (1) | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | (1) | 0 | 0 | 0 |

Variance Analysis: The negative variance is due to the long development cycle time to set up an ESDO unit within a province. Nevertheless, due to Taqadum efforts that began in Year 1, the program is on schedule for establishing nine ESDO units by the end of Year 2.

Indicator 17: Number of Citizen Service Desks Established or Improved Through GSP (Taqadum) Assistance

Citizen Service Desk (CSD) includes offices and other mechanisms in the GO and/or PC including on-line websites where the public may gain information about government services, obtain forms, lodge a complaint, and/or pay for public services such as permits or fees. To be counted, a service desk/ mechanism must be newly established or must add a new service or feature.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	2	0	0	0	0	0	0	1	0	0	0	0	0	1	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	(2)	0	0	0	0	0	0	(1)	0	0	0	0	0	(1)	0	0

Variance Analysis: Taqadum set a low target for establishing Provincial Council CSD's in Year I because of anticipated difficulties in establishing units that will coordinate with existing CSD-type entities operating under the governors' offices. Ninawa and Diyala have served as case models and Year 2 targets have been set for six provinces to implement a database-driven application, Issues Tracking and Reporting System (ITRS) for participating provincial CSDs.

Indicator 18: Number of Issues / Complaints Captured by Citizen Service Desks and Reported to Provincial Government

Issues and complaints are actionable requests communicated by citizens to the Governor's Office and/or Provincial Council through established mechanisms for receiving public input including citizen service desks and on-line methods. Reporting to provincial government includes formal, documented communication of individual complaints or of aggregated complaints and complaint trends. This indicator reflects the effectiveness of provincial government's outreach to citizens to accept and redress complaints.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	14,607	0	4,053	6,000	0	504	137	70	0	0	0	0	2,046	207	1,458	132
Variance	14,607	0	4,053	6,000	0	504	137	70	0	0	0	0	2,046	207	1,458	132

<u>Variance Analysis:</u> The positive variance represents a baseline for complaint intake levels in each province. Complaints were largely received by existing CSDs within the governors' offices. While Taqadum is encouraged that governors are actively seeking citizen input, the CSDs are located solely within provincial capitals. Taqadum will be working to integrate Provincial Council participation in developing a CSD network that extends outside provincial capitals to outlying districts in Year 2.

Indicator 19: Number of Service Improvement Projects Adopted and Funded Through ARDP

Adoption and funding of new projects for improving the quality and capacity of service delivery infrastructure in provinces is necessary for the provision of better services to citizens. Accelerated Reconstruction and Development Project (ARDP) funds are an important resource to implement these service delivery projects. Accordingly, the number of service improvement projects adopted and funded by provinces through ARDP during a given year demonstrates the level of commitment by provincial governments to respond to community needs for better public service delivery as well as provincial capacity to develop sound and compliant ARDP budgets and project proposals.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	600	40	40	40	40	40	40	40	40	40	40	40	40	40	40	40
Actual (2012)	1,632	0	0	0	0	0	180	167	563	0	0	492	186	0	0	44
Variance	1,032	(40)	(40)	(40)	(40)	(40)	140	127	523	(40)	(40)	452	146	(40)	(40)	4

Variance Analysis: The wide positive variance was due to overly conservative Year I targets established without complete visibility on historic ARDP project funding. Indeed, ARDP data was not available for the nine provinces reflecting zero ARDP projects. Actual numbers are likely higher. Taqadum management is working to encourage greater transparency at the provincial level now that embedded teams have established relationships. Taqadum management anticipates full reporting on all provinces in Year 2, and targets are being revised to reflect incoming historical data.

Indicator 20: Number of Provincial Performance Standards Developed in Coordination with Line Ministries to Address Service Delivery Issues Through GSP (Taqadum) Assistance

Performance standards are measures to gauge the quality or level of public service delivery. The provincial performance standards to be developed will cover at least the three basic municipal services: water, sewerage, and solid waste management. Standards will be eligible to be counted in a province when it is adopted by an oversight body and implemented via field service delivery monitoring tests.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Actual (2012)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Variance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Variance Analysis: Not applicable. The target was set at zero due to the long cycle time to develop and enact or approve provincial performance standards. In Year 2, Taqadum projects 48 performance standards will be developed, approved, and field-tested in 11 provinces.

Indicator 21: Percentage of GOI Cost Share Met

As a measure of stakeholder commitment, Taqadum measures the US-dollar equivalent value of all non-cash inputs contributed to GSP activities by GOI entities as a percentage of program costs. Documented contributions are aggregated, converted to the US dollar equivalent using the current bank exchange rate, and summed. PC/GO cost share contributions are all resources allocated by the PC/GO to engage in, design, implement, review, and transition Taqadum capacity building endeavors. Activities considered for cost share are only activities that took place as a result of Taqadum interventions. The method of calculation is based on PC/GO labor, transport,

and embedded office elements of cost as a percentage of Taqadum non-security expenditures for the same period.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target	10%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%	0.67%
Actual	4.62%	0.24%	0.85%	0.82%	0.20%	0.17%	0.24%	0.13%	0.56%	0.17%	0.09%	0.09%	0.19%	0.26%	0.24%	0.39%
Variance	−5.43%	−0.43%	−0.18%	−0.15%	−0.47%	−0.50%	−0.43%	−0.54%	−0.11%	−0.50%	−0.58%	−0.58%	−0.48%	−0.41%	−0.43%	−0.28%

Variance Analysis: Variance is due to a number of factors. As this was the initial year for Taqadum, a larger portion of expenditures was used for operational start-up activities that will not attract cost-share contributions.

Indicator 22: Number of Sub-national Government Entities Receiving GSP (Taqadum) Assistance that Improves Their Performance

This is an F indicator. Sub-national provincial and local entities comprise all public institutions and private organizations that are not considered as being a federal or national institution and organization such as provincial and local councils, committees, and committee offices; gubernatorial, district and mayoral offices, departments, services and unit; provincial line ministries directorate generals, directorates, department and units; universities, institutes, colleges, departments and units; local governance associations, federations and networks; and local associations and civil society organizations.

Taqadum performance improvement assistance includes all activities referenced within the Taqadum approved annual work-plan. Improved performance may include the adoption of new practices or procedures advocated by Taqadum.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (2012)	75	5	5	5	5	5	5	5	5	5	5	5	5	5	5	5
Actual (2012)	96	6	10	12	8	7	8	2	7	8	5	5	8	2	2	6
Variance	21	1	5	7	3	2	3	(3)	2	3	0	0	3	(3)	(3)	1

Variance Analysis: The positive variance is due to the breadth of stakeholders Taqadum engaged with in Year 1 and is consistent with the structure of provincial government with its many varied committees, units, and departments. Taqadum also engaged local governance associations during the program year.

Indicator 23: Number of Government Officials Receiving GSP (Taqadum)-Supported Anti-corruption Training

This is an F indicator. Training is defined as technical training, in-service training, and workshops for civil servants and other public sector employees. Anti-corruption training for government officials is defined as skill or knowledge transfer intended to increase transparency and accountability and reduce corruption or leakage in public administration (for example planning, budgeting, or ethics training). The training articulates stated learning objectives and/or expected competencies for the trainees.

	All Provinces	Anbar	Babil	Baghdad	Basra	Dhi Qar	Diwaniyah	Diyala	Karbala	Kirkuk	Maysan	Muthana	Najaf	Ninawa	Salah ad-Din	Wasit
Target (Male)	68	5	5	6	5	5	5	4	5	5	2	5	5	2	4	5
Actual (Male)	197	12	32	36	12	4	7	6	12	20	4	9	14	6	9	14
Variance (Male)	129	7	27	30	7	(1)	2	2	7	15	2	4	9	4	5	9
Target (Female)	23	1	2	4	1	1	1	1	1	3	1	1	1	3	1	1
Actual (Female)	41	2	2	25	0	1	0	2	4	2	1	0	0	1	0	1
Variance (Female)	18	1	0	21	(1)	0	(1)	1	3	(1)	0	(1)	(1)	(2)	(1)	0
Total Target	91	6	7	10	6	6	6	5	6	8	3	6	6	5	5	6
Total Actual	238	14	34	61	12	5	7	8	16	22	5	9	14	7	9	15
Total Variance	147	8	27	51	6	(1)	1	3	10	14	2	3	8	2	4	9

Variance Analysis: The positive variance is due to better than anticipated attendance at many Taqadum regional workshops and national conferences held during the program year, and the addition of workshops to support new governmental initiatives such as the Provincial Planning and Development Councils and revisions to Provincial Development Strategy guidelines.

PROJECT HIGHLIGHTS AND SUCCESS STORIES

During the first year of implementation, GSP has built strong relationships with 15 provincial governments. The relationships developed by GSP have assisted the program establish credibility with stakeholders and also allowed the project to obtain embedded offices in 11of the 15 provinces. GSP anticipates obtaining embedded offices in the remaining four provinces in the first quarter of Year 2. GSP hub offices in Baghdad, Hilla, Basrah, and Erbil became fully operational. Provincial Coordinators, the leaders of embedded technical teams, were hired in 14 of 15 provinces. Baseline citizen satisfaction surveys were completed and compiled into a baseline Citizen Satisfaction Index against which the project will measure impact.

On the program side, GSP conducted two national conferences. The *Provincial Governments: Centers of Excellence* conference, held on April 19 and 20, 2012, introduced the GSP Organizational Self-assessment and Transformational Program (OSTP) to high-level provincial actors, and the *Provincial Development Strategy National Workshop*, held on June 28, 2012, enabled the staff from the planning units of PCs and GOs from the 15 provinces to gain a better understanding of Ministry of Planning requirements for completion of 2013-2017 Provincial Development Strategies (PDS). GSP provincial coordinators assisted seven provinces in the preparation of their PDS. The PDS National Workshop also resulted in the identification of regulatory gaps in the planning and budget preparation process. As a follow-on to the PDS workshop, GSP, the Ministry of State for Provincial Affairs, and the Ministry of Planning is planning a three-day *Sulimaniyah National Workshop*, September 18-20, 2012 to facilitate a joint approach to clarifying and resolving regulatory gaps in capital-projects planning by provincial and federal authorities. GSP also assessed budgeting operations and Government Accounting Project Tracking and Information System (GAPTIS) utilization in 15 provinces.

Using a participatory approach, GSP developed a plan to address areas for improvement in local government, which was introduced to Baghdad Provincial Council (PC) and Governor's Office (GO) officials in a Baghdad Stakeholders' Meeting. The Baghdad PC and GO adopted the plan and a steering committee was formed.

GSP initiated support for Integrated Development Planning involving stakeholders at the provincial and central levels, joint PC-GO Essential Service Delivery Oversight (ESDO) units, citizen service desks, and citizen participation mechanisms through a series of meetings and workshops. OSTP teams were formed in six provinces and OSTP self-assessments were initiated.

EVALUATION OF MAJOR PROGRAM AREAS

Though Taqadum met most of its performance targets for Year I, it would be extremely limiting to evaluate project areas solely by examining indicators. It is widely acknowledged that capacity building is the slowest form of development to show results as it takes time for training and technical assistance to translate into measurable performance improvements. The majority of Taqadum's Year I activities were aimed at establishing the working relationships and the OSTP units that will support transformative change, conducting assessments where needed, provide training and technical assistance, and setting the stage for accelerated improvements. A brief evaluation of each activity follows:

1.1: Organizational Self-assessment and Transformation Program (OSTP)

This activity has been highly successful. OSTP is intended to serve as the centerpiece of Taqadum's capacity building efforts. Through intensive training and technical assistance, the project facilitates the formation of OSTP units that will sustainably identify and address performance barriers for participating Provincial Council's and GOs. During Year I, Taqadum established six OSTP units, four of which have completed self-assessments and made their first round of recommendations to their governors. Moving forward, additional provinces will be added and OSTP units will be more closely integrated with wider Taqadum capacity-building activities to engage in programming solutions that address assessment findings and recommendations. This strategy legitimizes the OSTP units, improving their chances for sustainability, and leverages the units to enlarge Taqadum's impact.

1.2: Capacity Building of Local Government Associations (LGAs)

This activity has faced a number of challenges. The accepted national LGA, the Iraq Local Governance Association (ILGA), has extremely low capacity and struggles with identity issues and stagnant leadership. Other regional associations have potential, but also have low capacity. Additionally, the demand for LGA services has not been clearly defined.

To clarify these issues, Taqadum conducted a capacity assessment of all suitable LGA candidates and surveyed Provincial Councils on what LGA services might be of value to them. Taqadum is seeking to understand which services LGAs might offer to attract local government participation and revenues (dues), and to improve sustainability. Responses indicated significant demand for an umbrella organization, providing advocacy of provincial interests to central government.

1.3: Establishing Policy Units in GOs

This activity will take place as the Provincial Planning and Development Councils are established in Year 2.

1.4: Governorates Accounting and Project Tracking Information System (GAPTIS) and Financial Management

Taqadum assessed the usage of the Governorate Accounting Project Tracking Information System (GAPTIS) in 15 provinces and completed a final report. The assessment provided information on the current status of GAPTIS use and viability of GAPTIS in light of the Ministry of Planning (MOP) rollout of the Iraq Development Management System (IDMS). The assessment results and possible integration of GAPTIS and IDMS will determine Taqadum assistance in this area in Year 2.

1.5: Improved Budget Accountability

In conjunction with the GAPTIS assessment (referenced above), Taqadum assessed the provincial budgeting process in 15 provinces. Information gathered during the assessment on the current systems and knowledge gaps will be used to establish a baseline for focused technical interventions and capacity building.

1.6: Improved Capital Projects Planning Cycle

Taqadum has made excellent progress and is well positioned to accelerate training, technical assistance, and tie capacity enhancements to performance improvements next year. The project conducted a national workshop and provided technical assistance to all 15 provinces on the revised Provincial Development Strategy requirements issued by the MOP. The project also facilitated the formation of an Integrated Development Planning and Budgeting (IDP/B) charette in Baghdad. The charette provided Baghdad PC and GO and MOP staff with a review of the strategic planning process, Provincial Development Planning (PDP) process, and criteria for developing a Priority Project List (PPL). Upon completion of the charette, Taqadum facilitated a meeting that brought together 22 Baghdad PC and GO officials to review and discuss Baghdad's 2013 PPL. Participants were able to utilize the knowledge gained about the PDP process and PPL criteria during the charette and to make recommendations that will improve upon the current PPL process.

1.7: Provincial Communication – PCs and GOs

The project made solid progress in building capacity and communications understanding during Year I. Taqadum conducted three two-day regional Communications and Community Outreach trainings in Baghdad, Babil, and Erbil for 57 media staff from the PCs and GOs of 15 provinces. Taqadum also conducted a condensed one-day version of the training for 20 media staff from the central ministries. Project staff provided a Training of Trainers (TOT) session to media staff from the Najaf PC and GO and will support TOT participants in using their newly acquired skills to train media staff in the Najaf PC and GO going forward.

1.8: Provincial Communication to Central Government

This activity is related to communicating executive service issues to central ministries and is considered a subset of Component 2. It will be removed in the Year 2 Work Plan.

1.9: Effective Citizen Participation

Taqadum is on schedule with this activity and has conducted a survey of citizen outreach and participation mechanisms. The surveys are designed to gauge the frequency and methods used by the PC and GO to reach out to citizens and promote greater citizen participation. Taqadum is utilizing survey results to develop a tailored strategy to address the identified areas for improvement in each province. Taqadum has delivered communications and outreach training to some 80 officials from all 15 target provinces and the project has successfully supported town-hall type forums. Going forward, these forums will be expanded through project assistance.

1.10: Governance Effectiveness Index

Taqadum developed and is implementing a tool to measure governance effectiveness. See Appendix I.

2.1 Service Delivery Performance Standards (SDPS)

This activity is proceeding on schedule. Taqadum examined and evaluated existing SDPS with officials from Anbar, Babil, Baghdad, Diwaniyah, Ninawa, and Wasit. Taqadum's SDPS evaluation concentrated on water, sewage, solid waste, and municipalities' departments. In all six provinces, Taqadum found a lack of documented SDPS and related indicators. Officials requested Taqadum support in the establishment of new SDPS to improve citizen services. Taqadum will provide technical assistance in establishing SDPS and in clarifying the respective roles of the PC and GO moving forward.

2.2 Essential Service Delivery Oversight (ESDO) Units

Taqadum has made significant progress using a tailored approach that recognizes and addresses the unique perspective of each province. It should be noted that most GOs already have some sort of ESDO unit. Taqadum is seeking to build Provincial Council ESDO units that coordinate with those of the GOs. Taqadum secured approval for the establishment of ESDO units in Babil and Wasit. Officials in Diwaniyah and Najaf also support the establishment of an ESDO unit but have not yet issued formal approval. Taqadum staff recently introduced the concept to Karbala PC and GO officials and will engage them further in the coming quarter. Taqadum also provided technical assistance to the joint PC-Amanat ESDO unit in Baghdad.

2.3 Engaging DCs, NCs, and CAGs, in Oversight[2]

This activity is on schedule and will be fully running once service delivery standards and ESDOs are finalized. Taqadum has included District Councils (DCs), Nahya Councils (NCs), and Community Action Groups (CAGs) in service delivery oversight through membership in the ESDO units. Their important role has been pointed out to PC and GO officials during meetings regarding the ESDO concept. DCs and NCs play an active role in the Baghdad ESDO unit.

2.4 Citizen Service Desks (CSDs)

This activity is gaining momentum as Taqadum links existing CSDs, operated under the governors, to PCs. Taqadum discussed the quality of services provided to citizens at CSDs with officials and staff from the Baghdad and Amanat PCs, Babil and Karbala GOs, and Salah and Din PCs. The discussions especially focused on the timeliness of responses to citizen complaints and areas of improvement that could be supported by Taqadum. The CSDs need clear operating procedures and improved mechanisms for effective communication with citizens. Taqadum will work with the CSDs to develop an action plan to address these issues. A CSD database is in development, which Taqadum will implement across all provinces in the coming months.

2.5 Legislative Tracking

This activity is designed to give PCs transparency on how and when enacted legislation and orders are implemented through GOs. Taqadum has completed a field assessment of current legislative tracking systems and has designed pilot activities to be implemented in three provinces early in Year 2.

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[2] Note that District Advisory Councils (DACs) have been renamed District Councils (DCs) and Nahya Advisory Councils (NACs) have been renamed Nahya Councils (NCs).

COST EFFECTIVENESS

As effectiveness can only be measured in relation to impactful changes in provincial government performance, it is premature to evaluate the cost-effectiveness of Taqadum components or individual activities. Additionally, as activities are interrelated and frequently codependent, it will be difficult to judge the cost effectiveness of each activity separately. That said, project management is confident that the 60%/40% ratio of Component I to Component II costs is appropriate for the predicted impact levels associated with the components' underlying activities.

It is predicted that the combined activities related to service delivery oversight will show the quickest and broadest direct impact in improving services to citizens. These include establishing service delivery standards, facilitating the formation of ESDOs, engaging local government in oversight, and underlying OSTP support. Capacity development activities in the areas of budget accountability and capital projects planning will also show strong impact, though the approach to capital projects tracking system (GAPTIS or similar) is still unclear. Activities related to communications and citizen engagement such as the development of CSDs, communications and outreach training, and the facilitation of public forums will likely show measurable impact in citizen participation and improved provincial government planning quickly as well.

Slower to show impact will be activities related to local government association development. This is largely due to the entrenched and unresponsive ILGA management and the dearth of qualified alternative association entities.

LESSONS LEARNED

1. Tailored Technical Approach for Stakeholder Buy-In

Project management has learned to be cognizant of the mix of push and pull interventions available, and to adjust the mix and timing of these interventions in a tailored approach for each provincial government. There is a general lack of understanding of the service-based call to public service upon which western democracies are based, though the Iraqi governmental structure calls for the same service-based perspective. Changing the mindset of stakeholders is a protracted process and can only be accomplished through multiple and well-timed interventions. The barriers and opportunities differ in each province, and so maintaining a keen understanding of the context in each province is essential to optimizing project impact.

Resistance to project interventions that improve transparency and accountability is frequently based on a desire to preserve opportunities for corrupt practices. This barrier is more pronounced than was perhaps anticipated in some provinces, and within some offices. GSP management has

learned that involving a greater number of stakeholders in the planning processes and in ongoing oversight of GSP interventions, reduces the potential for individuals or individual offices to impede GSP, or its interventions, while significantly improving participant investment ('buy in').

A key element of stakeholder buy-in is the willingness to invest in technical assistance provided by GSP. It is easy for potential program beneficiaries to agree to GSP's approach in principle and never take real action in applying the new skills and practices to their work as public servants. However, when senior-level buy-in for GSP activities is obtained from Provincial Council Chairmen or Governors, their staff are more willing to apply the practical skills provided by GSP. Cost-sharing is the most significant and tangible indicator of stakeholder buy-in. Investment by GOI counterparts not only indicates a commitment to the types of interventions proposed by GSP, but also serve as encouragement for GO and PC staff to attend GSP trainings and events. These investments can be in the time commitments by GO and PC staff, monetary or material contribution to GSP trainings and workshops, and/or the provision of shared office space within the PCs and GOs themselves.

GSP has been successful in obtaining this high level of investment from GOI stakeholders. Currently, GSP has secured shared office space in 11 provinces, and on several occasions GOs and PCs have offered to share the costs of upcoming workshops. These contributions to GSP's interventions are not only indicative of stakeholder buy-in, but also confirm GSP's responsiveness to each GO and PC's individual needs.

2. Transferable Knowledge

Many counterparts have previously participated in training programs but have been unable to implement the new technologies or practices that they learned in the real world. GSP management has learned that mentoring by embedded technical specialists substantially improves the effectiveness of regular training activities by providing continual support that enables participants to implement lessons learned on the job.

Turnover of elected officials, either due to elections or migration to the private sector, presents a challenge to GSP capacity building efforts. To alleviate the impact, GSP is emphasizing activities that institutionalize processes and procedures as much as activities that build the capacity of individuals.

For example, building the capacity of governmental organizations through the OSTP methodology furthers GSP's efforts in Iraq. By drawing upon and leveraging the target organization's existing staff to evaluate and transform the organization from within, GSP is ensuring that GOI counterparts are equipped with the tools to identify and solve problems in the long-term, not just when GSP

is present in Iraq. In this way, GSP is developing sustainable structural changes that endure as governmental actors change.

3. Gaps in Donor-funded Projects

During the interim between the Local Governance Program III (LGP III) and GSP, some LGP III progress eroded, especially in the area of GAPTIS. GSP has rebuilt momentum through embedded staff and national conferences, but has been careful to both leverage the reporting and progress of LGP III while conducting its own assessment of the priorities and opportunities.

Management has learned that incorporating the input and sometimes participation of a vast array of assistance agencies, non-governmental agencies (NGOs), and implementing partners in planning interventions, trainings, and conferences, enables GSP to leverage past and current activities and to avoid redundancy.

4. Program Communication

GSP has a decentralized structure of embedded teams, led by Regional Managers and technical component Team Leaders. Access to the provincial teams is limited by geography, communications infrastructure, and security concerns. This structure presents difficulties in developing a unified team and vision, in providing oversight to provincial teams, and in maintaining a complete understanding of the operating context in each province. To address this, GSP management uses a variety of outreach mechanisms including periodic visits by senior management, weekly Skype conference calls, periodic regional meetings at hub offices, and an annual "all-hands" meeting to bring the entire team together for work planning and to assess performance collaboratively.

5. Institutionalization

As mentioned previously, GSP is emphasizing activities that institutionalize processes and procedures as much as activities that build the capacity of individuals. This is accomplished through the development of standard operating procedures, legislation, and the implementation of processes and technologies for planning, budgeting, and communications and outreach. To enable these ventures to take root, GSP combines supportive longer-term mentorship through its embedded provincial teams with activities that build expectations and demand for improved performance. These include inviting community representatives to planning and budgeting meetings, improving government communications to citizens, and communicating citizen issues and complaints to central ministries.

APPENICIES

Appendix I Governance Effectiveness Index Scorecard

Province		Date Submitted	
Provincial Coordinator	Sign	Regional Manager	Sign
Date:	Print	Date:	Print

ACTIVITY	0	1	2	3	4	5	SCORE
1.1: Establish Sustainable Organizational self-Assessment and Transformation Program	Province does not have an OSTP Unit	OSTP Unit is established OSTP Unit has completed self assessment / benchmark report	OSTP unit is addressing recommendations based on self-assessment. OSTP Unit has made recommendations	OSTP unit is addressing recommendations successfully based on self assessment OSTP Unit is participating in OSTP community networks	Second OSTP assessment and recommendations addressed with little or no guidance from GSP. Active participation in OSTP community networks.	OSTP unit is running effectively with little or no guidance from GSP and continues to self-assess and make recommendations, which are prioritized and addressed by GO or PC leadership.	
1.2: Provide technical assistance and material support to local government associations (LGAs) or Provincial Universities for purposes of sustaining the project's training support for elected officials and their staff.	• Province is not engaged with LGAs	• Province is engaged with LGAs but only to exchange ideas	• Province is engaged with LGAs for dialog and advocacy. • Officials have attended LGA-sponsored trainings but have not paid for these trainings	• Province is engaged with LGAs for dialog and advocacy through the governors network or the Provincial Council Network. • At least five officials have	• Province is engaged with LGAs for dialog and advocacy through the governors network and the Provincial Council Network. • At least 20 officials have	• Province is engaged with LGAs for dialog and advocacy through the governors network and the Provincial Council Network. • At least 20 officials have	

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				attended LGA-sponsored trainings and have paid for these trainings	attended LGA-sponsored trainings and have paid for these trainings	attended LGA-sponsored trainings and have paid for these trainings. • Province pays an annual membership fee to the association.	
1.3: Policy development to complement those of central ministries and reflect the needs and priorities of citizens.	• PPDC or other entities do not have a policy focus or defined procedures for reviewing central-government policies or developing provincial policies	• PPDC or other entities have an established system and schedule for reviewing central government policies • PPDC or other entities received training on policy formulation	• PPDC or other entities have an established system and schedule for reviewing central government policies. • PPDC or other entities are drafting provincial policies •	• Province has an established system and schedule for reviewing central government policies. • Province is drafting provincial policies and reviewing alignment between central government and provincial policies that are adopted by the governor. •	• Province has an established system and schedule for reviewing central government policies. • Province is drafting provincial policies and reviewing alignment between central government and provincial policies that are adopted by the governor. • Provincial polices are continuously reviewed for effectiveness. •	• GO Planning and Development Councils draft sector and development policies that are adopted by Governors. • Policy effectiveness is measured through evidenced links to provincial capital budget recommendations and collaborative departmental budget decisions. •	
1.4: Budget, management, transparency and control.	• Record-keeping systems have not been reviewed and modernized. • Province does	• Record-keeping systems have been reviewed and modernization in process.	• Record-keeping systems have been reviewed and modernized. • Province has a financial Self-	• Province has a financial Self-Audit manual for PCs and GOs that is used regularly.	• Province has a financial Self-Audit manual for PCs and GOs that is used regularly.	• Self-Audit Manual is used and evidence of improved audit outcomes. • IDMS system (or	

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	not have a financial Self-Audit manual for PCs and GOs. • Compliance regulations are not widely known. • Project tracking systems are not systematized.	• Province Self-Audit manual for PCs and GOs drafted. •	Audit manual for PCs and GOs. • Compliance regulations are known. • Project tracking systems are not systematized.	• Compliance regulations are known and referred to regularly. • Record-keeping systems have been reviewed and modernized. • Project tracking is not systematized.	• Compliance regulations are known and referred to regularly. • Record-keeping systems have been reviewed and modernized. • Project tracking is systematized.	similar) is used to assist provincial project tracking. • Customized technical assistance shows evidenced improvement in GO/PC record keeping, bookkeeping, and accounting systems. • Financial management manual has been drafted and approved	
1.5: Support Provincial Planning and Development Councils (PPDC), including, but not limited to: improving/ implementing Provincial Development Strategies, linking to National Development Plan, coordinating provincial/department budget plans, reflecting citizen needs and private sector economic development priorities	• PPDC not formed. •	• PPDC formed. Roles and responsibilities defined through bylaws •	• PPDC formed. Roles and responsibilities defined through bylaws • PPDC is receiving and reviewing citizen priorities from districts •	• PPDC formed. Roles and responsibilities defined through bylaws • PPDC is receiving and reviewing citizen priorities from districts • PPDC is receiving project requests from ministries •	• PPDC is aligning National and Provincial Development Plans/Strategies. • PPDC is receiving and reviewing citizen priorities from districts • PPDC is receiving project requests from ministries •	• PPDC is aligning National and Provincial Development Plans/Strategies. • PPDC is receiving and reviewing citizen priorities from districts • PPDC is receiving project requests from ministries • PPDC policy recommendations result in five-year capital improvement budget	

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1.6: Improved provincial planning cycle to meet MOP/MOF reporting requirements and deadlines.	• Planning is not done in coordination with departments • Citizen priorities are not formally reviewed and considered in the planning process. •	• Planning is done in coordination with departments OR Citizen priorities are formally reviewed and considered in the planning process. • •	• Planning is done in coordination with departments. • Citizen priorities are formally reviewed and considered in the planning process. •	• Planning is done in coordination with departments. • Citizen priorities are formally reviewed and considered in the planning process. • Budget processes and preparation schedule are institutionalized through MOP budget preparation manual	• Planning is done in coordination with departments. • Citizen priorities are formally reviewed and considered in the planning process. • Budget processes and preparation schedule are institutionalized through MOP budget preparation manual	• Planning is done in coordination with departments. • Citizen priorities are formally reviewed and considered in the planning process. • Formal feasibility are used to evaluating projects for PPL. • Budget processes and preparation schedule are institutionalized through MOP budget preparation manual • PDS aligned with NPD	
1.7: Provincial communications — Provincial Council and Governor Office Outreach and Communication with Central Government (Reference: Mod 3, C1-2.1; Pg. 16)	• Province does not have a formal communications plan and there is no coordinated effort to reach out to communities or to interact with representative groups. • Town hall meetings are not conducted. • There is no formal program for	• Province has a formal communications plan and is just beginning to coordinate citizen outreach and to reach out to communities or to interact with representative groups. • Online or other formal program for communicating the schedules,	• Province has a formal communications plan and is coordinating citizen outreach and to communities according to the plan. • Province has established relationships with representative groups. • Town hall meetings have	• Province has a formal communications plan and is coordinating citizen outreach and to communities according to the plan. • Province has established relationships with representative groups. • Town hall meetings have	• Province has a formal communications plan and is coordinating citizen outreach and to communities according to the plan. • Province has established relationships with representative groups. Town hall meetings are conducted at	• Province has a formal communications plan and is coordinating citizen outreach and to communities according to the plan. • Province has established relationships with representative groups. • Town hall meetings are	

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	communicating the schedules, plans and activities of the PC or GO.	plans and activities of the PC or GO have not yet been initiated.	been conducted in the province capital. • Online or other formal program for communicating the schedules, plans and activities of the PC or GO has been initiated. •	been conducted in the province capital and at least one other district at least once per year. • Online or other formal program for communicating the schedules, plans and activities of the PC or GO has been institutionalized.	least one per year in the province capital and at least two other districts. • Online or other formal program for communicating the schedules, plans and activities of the PC or GO has been institutionalized. • Province formally reviews the effectiveness of its communication plan annually.	conducted at least once per year in all districts. • Online or other formal program for communicating the schedules, plans and activities of the PC or GO has been institutionalized. • Province formally reviews the effectiveness of its communication plan annually.	
1.8: Effective Citizen Participation / Increased women council participation.	• Province does not have a citizen participation plan. District/Local Councils are not engaging citizens in regular activities or involving citizens in setting budget priorities. Local laws or polices do not compel citizen outreach.	• Province has a citizen participation plan. •	• Province has a citizen participation plan. • District/Local Councils are engaging citizens in some activities at least in the province capital. • Local laws or polices to compel citizen outreach are under development.	• Province has a citizen participation plan. • District/Local Councils are engaging citizens in some activities in least two districts. • Regional Workshops-District/Local Councils to lead local citizen engagement activities have been held. • Local laws or polices to compel citizen outreach are	• Province has a citizen participation plan. • District/Local Councils are engaging citizens in regular activities in least three districts. • Regional Workshops-District/Local Councils to lead local citizen engagement activities have been held. • Local laws or polices to compel citizen	• Province has a citizen participation plan. • District/Local Councils are engaging citizens in regular activities in all districts. • Regional Workshops-District/Local Councils to lead local citizen engagement activities have been held. • Local laws or polices to compel citizen outreach are	

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				under development. • A PC Women's Network has been established. •	outreach are completed and approved. • A PC Women's Network has been established and is active in informing the PC agenda and incorporating the input of women citizens.	completed and approved. • A PC Women's Network has been established and is active in informing the PC agenda and incorporating the input of women citizens.	
2.1. Assist PC/GO to improve Monitoring, Oversight and Physical Inspection of Capital Projects.	• Monitoring and oversight is not systematic or transparent and reports are not regularly shared with stakeholders.	• Monitoring and oversight inspection checklist and protocols in development	• Monitoring and oversight inspection checklist and protocols implemented in trial period.	• Monitoring and oversight inspection checklist and protocols have been tested and refined. • Schedules for inspections are clear, and communicated to stakeholders.	• Monitoring and oversight inspection checklist and protocols in place. • Schedules for inspections are clear, and communicated to stakeholders. • ARDP projects also inspected. • Inspection reports shared with elected officials.	• Monitoring and oversight inspection checklist and protocols in place. • Schedules for inspections are clear, and communicated to stakeholders. • ARDP projects also inspected. • Systems in place to review the effectiveness of monitoring and oversight and continuously improve performance • Reports used by elected officials for planning and budgeting	
2.2. Establish service delivery performance standards that are supported by central ministries, adopted	• Provincial Service Delivery Performance Standards (SDPS) have	• SDPS are under development in collaboration with line ministries for at	• SDPS have been developed for at least three key service areas in	• SDPS have been developed for at least three key service areas in	• SDPS have been developed for at least three key service areas in	• SDPS have been developed for at least four key service areas in	

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by provincial authorities, monitored and communicated to line ministries.	not been developed. • Essential Service Delivery Oversight (ESDO) unit or committee does not exist and PC/GO coordination of oversight is not systematized. •	least three key services (water, sewer, trash pick-up). • ESDO unit or committee is forming.	collaboration with line ministries. • The PC and GO have attended training on the standards. • ESDO unit or committee is formed and PC/GO coordination is now systematized.	collaboration with line ministries. • The PC and GO regularly refer to the standards in service oversight. • ESDO unit or committee has a clear schedule of oversight activities and is actively coordinating PC/GO oversight.	collaboration with line ministries. • The PC and GO regularly refer to the standards in service oversight. • Mechanisms for regular review of the standards are under development. • ESDO unit or committee is successfully coordinating PC/GO oversight and providing relevant data.	collaboration with line ministries. • The PC and GO regularly refer to the standards in service oversight. • Mechanisms for regular review of the standards have been institutionalized. • ESDO unit or committee is successfully coordinating PC/GO oversight and providing relevant data.	
2.3. Assist PCs and GOs to adopt and institutionalize mechanisms for regular reporting sessions to the public on service delivery oversight standards and results.	• PC and GO are not communicating service performance levels or oversight findings to the public.	• PC and GO are developing a strategy and protocols for engaging public on service standards, performance levels, and oversight findings.	• PC and GO have drafted a strategy for communicating service standards, performance levels, and oversight findings. • Pilot forums completed.	• PC and GO regularly report service standards, performance levels, and oversight findings in print or radio media. • Public forums held in the province capital and at least three other districts.	• PC and GO regularly report service standards, performance levels, oversight findings and corrective actions in print or radio media. • Public forums held in the province capital and at least six other districts.	• PC and GO regularly report service standards, performance levels, oversight findings and corrective actions via website, print or radio. • Public forums held throughout the province, accessible to all districts.	
2.7. Establish Citizen Service Desks	• The province does not have Citizen Service Desks (CSDs)	• CSD is established in provincial capital. • CSD is capable of receiving complaints and	• CSD is established in provincial capital. • CSD is capable of receiving complaints and	• CSD is established in provincial capital. • CSD is capable of receiving complaints and	• CSD is established in provincial capital. • Online citizen information and complaint	• CSD is established in provincial capital and at least one other district. • Online citizen information and	

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		communicating the complaints to GO.	communicating issues to PC. • CSD can also provide citizens with information on government services. • A central, systematized mechanism for consolidating, tracking and analyzing complaints is in development.	communicating issues to PC. • CSD can also provide citizens with information on government services. • A central, systematized mechanism for consolidating, tracking and analyzing complaints is functioning.	services in development. • CSD is capable of receiving complaints and communicating issues to PC. • CSD can also provide citizens with information on government services. • A central, systematized mechanism for consolidating, tracking and analyzing complaints is functioning.	complaint services are available. • CSD is capable of receiving complaints and communicating issues to Provincial Council and GO. • CSD can also provide citizens with information on government services. • A central, systematized mechanism for consolidating, tracking and analyzing complaints is institutionalized.	
2.9: Legislation tracking system	• No systematized legislative tracking mechanism in place. PC is unable to determine if legislation is being implemented.	• Legislative tracking system in development with collaboration with PC and GO.	• PC and GO staff training on legislative tracking system. • System initiated.	• Legislative tracking system functioning in test period. • PC and GO collaboratively identify bottlenecks and areas for improvement.	• Legislative tracking system refinements in process after trial period.	• Legislative tracking systems in-place and providing real-time data on implementation of legislation. • System is institutionalized.	